

## NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

To all whom these presents shall come. Greeting:

By virtue of the authority vested in me by the Archivist of the United States, I certify on his behalf, under the seal of the National Archives and Records Administration, that the attached reproduction(s) is a true and correct copy of documents in his custody.



SIGNATURE <i>Theresa Mellon</i>	
NAME THERESA MELLON	DATE 4-3-12
TITLE SUPERVISORY ARCHIVES SPECIALIST	
NAME AND ADDRESS OF DEPOSITORY NARA - Office of Regional Records Services 200 Space Center Drive Lee's Summit, MO 64064	

NA FORM 13040 (10-86)

## Relevant Securities:

1. The Commission (the "S") States Government by regulating the conduct of persons in the United States.

2. A c is to protect investment purchase and sale things, full and companies and brokers. One of the practices "market manipulation,"

## National Archives Trust Fund

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(816) 268-8100

Criminal Cases - Entire Case File - Certified  
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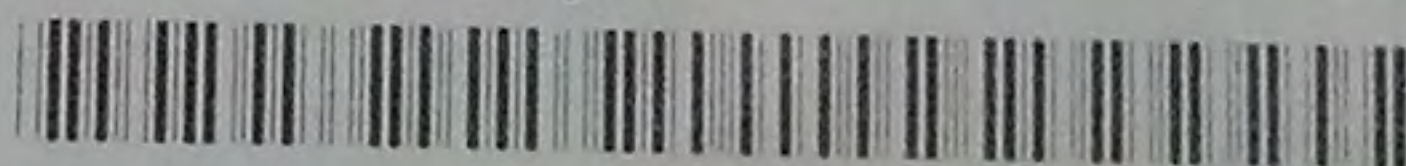
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OPER: dnadeau

DATE: 4/3/2012

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Essential Evidence

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UNITED STATES DISTRICT COURT  
EASTERN DISTRICT OF NEW YORK

UNITED STATES OF AMERICA,

JUDGMENT INCLUDING  
SENTENCE FOR OFFENSES  
COMMITTED ON OR AFTER 11-1-87

VS.

CASE NO.: CR 98-1102 (ILG)

SALVATORE LAURIA

ERIC CORNGOLD  
Assistant United States Attorney

FRED GURINO  
Court Reporter

ROBERT STAHL  
Defendant's Attorney

THE DEFENDANT: SALVATORE LAURIA  
XX PLEAD GUILTY TO COUNT 1 OF THE INFORMATION.

Accordingly, the defendant is ADJUDGED guilty of such Count(s), which involve the following offenses:

<u>TITLE AND SECTION</u>	<u>NATURE AND OFFENSE</u>	<u>COUNT NUMBERS</u>
18 USC 1962 (c) and 1963(a)	RACKETEERING	COUNT 1

The defendant is sentenced as provided in pages 2 through 4 of the Judgment. The sentence is imposed pursuant to the Sentencing Reform Act of 1984.

- The defendant has been found not guilty on count(s) and discharged as to such count(s).  
— **Open count in the indictment is dismissed on the motion of the United States.**  
— The mandatory special assessment is included in the portion of Judgment that imposes a fine.  
X **It is ordered that the defendant shall pay to the United States a special assessment of \$100.00 which shall be due immediately.**

It is further **ORDERED** that the defendant shall notify the United States Attorney for this District within 30 days of any change of residence or mailing address until all fines, restitution, costs and special assessments imposed by this Judgment are fully paid.

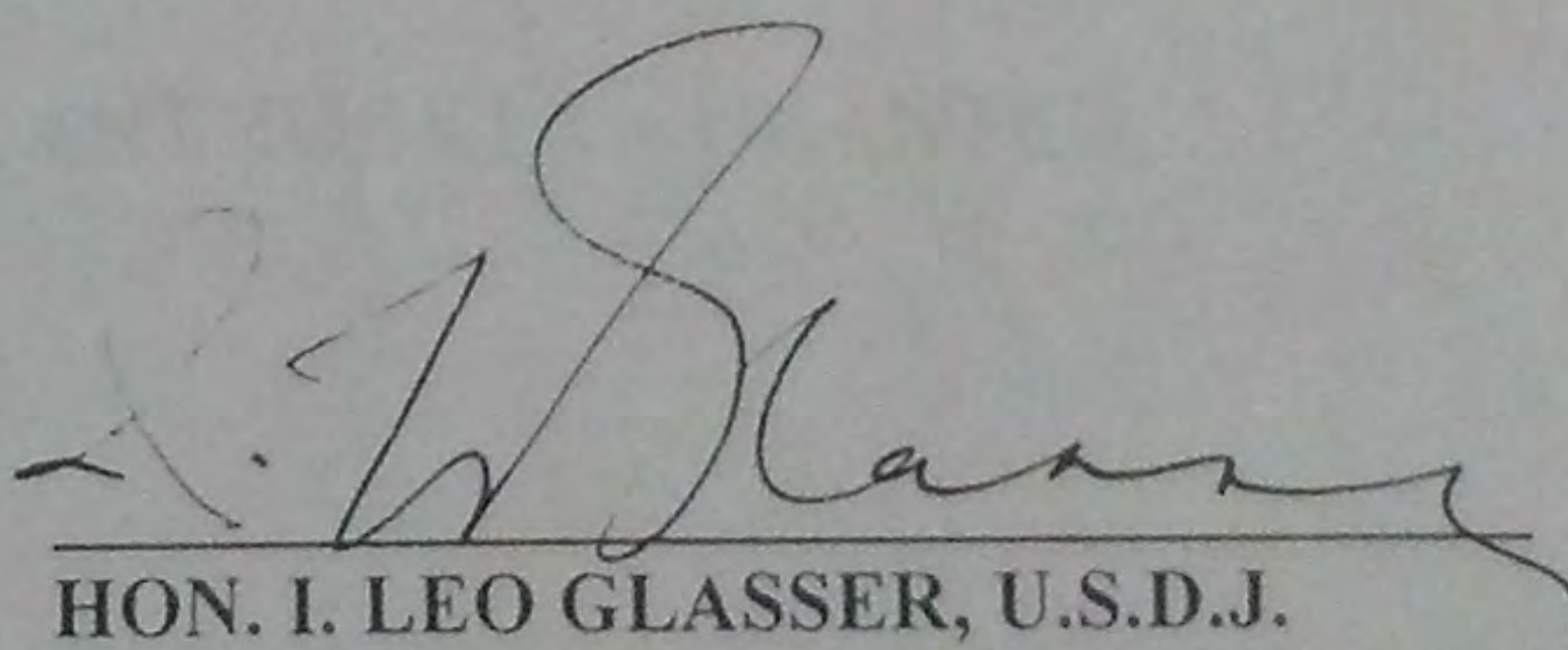
FEBRUARY 5, 2004  
Date of Imposition of Sentence

56695-053  
Defendant's USM #

08/30/62  
Date of Birth

054-62-4508  
Defendant's Soc. Sec. Number

91 GEORGETOWN RD., WESTON CONNECTICUT  
Defendant's mailing address

  
HON. I. LEO GLASSER, U.S.D.J.  
DATE: FEBRUARY 23, 2004

15



LAW OFFICES OF

ROBERT G. STAHL, LLC

G. Stahl  
& Federal Bar in N.Y.)

E-mail [STAHL@BELLATLANTIC.NET](mailto:STAHL@BELLATLANTIC.NET)

PLEASE REPLY TO NEW JERSEY OFFICE

220 ST. PAUL STREET  
WESTFIELD, NEW JERSEY 07090  
Telephone: 908. 301. 9001  
Facsimile: 908. 301. 9008

Korey Kerscher Sarokin  
(N.J. & N.Y. Bars)

David S. Fenkel  
(N.J. Bar)

1-11-03  
CLERK'S OFFICE  
OF  
I. LEO GLASSER  
U. S. D. J.

New York Office  
437 Madison Avenue, 35<sup>th</sup> Floor  
New York, New York 10017  
Telephone: 212. 655. 3300  
CLERK'S OFFICE  
U.S. DISTRICT COURT, E.D.N.Y.

November 26, 2003

★ DEC 23 2003 ★

BROOKLYN OFFICE

Hon. I. Leo Glasser  
United States District Court  
Eastern District of New York  
U.S. Courthouse  
225 Cadman Plaza East  
Brooklyn, New York 11201

Re: Sentencing Date – United States v. Salvatore Lauria,  
98-CR-1102 (ILG)

Dear Judge Glasser:

This letter is to confirm my conversation with your Deputy Clerk that the sentencing in the above-listed matter has been adjourned with the consent of the United States to February 5, 2003 at 10:00 a.m.

Respectfully submitted,

*R Stahl*

Robert G. Stahl

RGS/ps

cc: AUSA Eric Korngold, EDNY  
Mr. Salvatore Lauria

#14  
Adjourned  
J.L. Glasser  
11/21/03



U.S. Department of Justice

United States Attorney  
Eastern District of New York

RECEIVED  
4/30/02  
CLERK OF  
COURT

EOC:dbp  
F.#1998r01996  
lauria-adj-ltr.wpd

156 Pierrepont Street  
Brooklyn, New York 11201

April 29, 2002

TO BE FILED UNDER SEAL  
BY INTEROFFICE MAIL

The Honorable I. Leo Glasser  
United States District Court  
Eastern District of New York  
225 Cadman Plaza East  
Brooklyn, New York 11201

Re: United States v. Salvatore Lauria and  
Felix Sater, Crim. Docket No. 98-1102 (ILG)

Dear Judge Glasser:

Salvatore Lauria and Felix Sater are scheduled to be sentenced by Your Honor this Wednesday, May 1, 2002. For the reasons set forth below, the government respectfully requests that the sentencings be adjourned to September 17, 2002, at 10:00 a.m.

The defendants pled guilty before Your Honor pursuant to cooperation agreements. The information the defendants can provide with regard to the criminal activities of others has not been exhausted. The government respectfully submits that the interests of justice and judicial economy will be furthered if the defendants' cooperation is exhausted prior to sentencing. Specifically, if the defendants are sentenced after their cooperation is complete, there will be no subsequent need to pursue relief under Fed. R. Crim. P. 35. In addition to conserving resources, this approach will allow the Court the opportunity to impose upon the defendants a single, determinate sentence.

I have spoken by telephone with Your Honor's courtroom deputy, Louise Schillat, who informed me that September 17, 2002, at 10:00 a.m. is convenient for the Court.

12



2

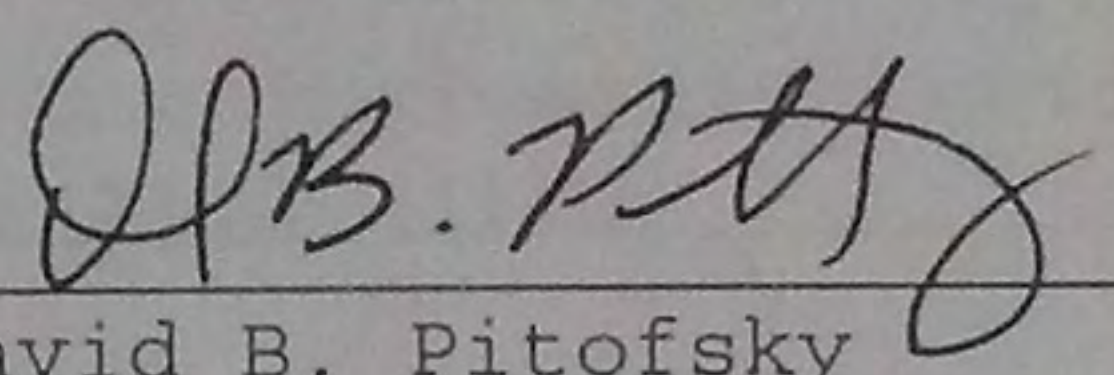
I attempted to reach by telephone today both Robert Stahl, Esq., counsel to defendant Lauria, and Myles Mahlman, Esq., counsel to defendant Sater, to obtain their consent to this request; however, neither attorney was in his office. In any event, both defendants agreed to adjournments of their sentencings, as requested by this Office, as part of their cooperation agreements.

The Court's attention to this scheduling matter is greatly appreciated. Because of the nature of this letter, the government respectfully requests that it be filed under seal.

Respectfully submitted,

ALAN VINEGRAD  
UNITED STATES ATTORNEY

By:

  
David B. Pitofsky  
Assistant U.S. Attorney  
(718) 254-6292

cc: Robert Stahl, Esq.  
(by telecopier 908/301-9008)

Myles Mahlman, Esq.  
(by telecopier 954/322-0064)

*Submitted  
reduced  
1/5/11*

*38/04*



UNITED STATES DISTRICT COURT  
EASTERN DISTRICT OF NEW YORK

- - - - -X

UNITED STATES OF AMERICA

- against -

98-CR-1102,

Defendant.

- - - - -X

Upon the application of BENTON J. CAMPBELL, United States Attorney for the Eastern District of New York, by Assistant United States Attorney Christopher C. Caffarone, for an order unsealing the court file in the above-captioned case.

WHEREFORE, it is ordered that the court file in the above-captioned case be unsealed.

Dated: Brooklyn, New York  
3/18, 2009

s/Roanne L. Mann

UNITED STATES MAGISTRATE JUDGE  
EASTERN DISTRICT OF NEW YORK

**FILED**  
IN CLERK'S OFFICE  
U.S. DISTRICT COURT E.D.N.Y.

★ MAR 24 2009 ★

BROOKLYN OFFICE

UNSEALING ORDER

98-CR-1102 (ILG)

UNITED STATES DISTRICT COURT  
EASTERN DISTRICT OF NEW YORK

FILED  
IN CLERK'S OFFICE  
U.S. DISTRICT COURT  
★ JAN 26 2011 ★

- - - - -X

UNITED STATES OF AMERICA

BROOKLYN OFFICE

- against -

SEALING  
APPLICATION


SALVATORE LAURIA,

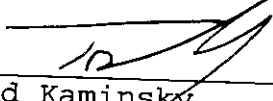
98 CR 1102

Defendant.

- - - - -X


For the reasons stated in the government's letter dated December 2, 2010, the government respectfully moves to seal the April 29, 2002 letter (Document 12) in the above-captioned case.

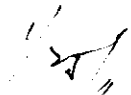


  
Todd Kaminsky  
Assistant U.S. Attorney  
Eastern District of New York

SO ORDERED:

S/ILG

  
1. LEO GLASSER  
UNITED STATES DISTRICT JUDGE  
SOUTHERN DISTRICT OF NEW YORK



**U.S. District Court**  
**Eastern District of New York (Brooklyn)**  
**CRIMINAL DOCKET FOR CASE #: 1:98-cr-01102-ILG-1**

Case title: USA v. 1-98-cr-1102-01

Date Filed: 12/03/1998

Date Terminated: 02/05/2004

---

Assigned to: Judge I. Leo Glasser

**Defendant (1)**

**Salvatore Lauria**

*TERMINATED: 02/05/2004*

represented by **Robert G. Stahl**

Stahl & Horblit

47 Maple Street

Suite 206

Summit, NJ 07901

908-608-0890

*ATTORNEY TO BE NOTICED*

*Designation: Retained*

**Pending Counts**

RACKETEERING

(1)

**Disposition**

**Highest Offense Level (Opening)**

Felony

**Terminated Counts**

None

**Disposition**

**Highest Offense Level (Terminated)**

None

**Complaints**

None

**Disposition**



**Plaintiff****USA**represented by **Jonathan S. Sack**

United States Attorney's Office

Criminal Division

225 Cadman Plaza East

Brooklyn, NY 11201

212-856-9600

Fax: 212-856-9494

Email: jsack@magislaw.com

*LEAD ATTORNEY**ATTORNEY TO BE NOTICED*

<b>Date Filed</b>	<b>#</b>	<b>Docket Text</b>
12/03/1998	1	Notice of intent to proceed under FRCrP 7(b) as to 1-98-cr-1102-01. (Guzzi, Roseann) (Entered: 12/07/1998)
12/03/1998		Magistrate Chrein has been selected by random selection to handle any matters that may be referred in this case. (Guzzi, Roseann) (Entered: 12/07/1998)
12/10/1998	<a href="#">2</a>	LETTER dated 12/10/98 from AUSA Jonathan Sack. (AUSA file #98r02283) (Guzzi, Roseann) (Sica, Michele). (Entered: 12/10/1998)
12/10/1998	<a href="#">3</a>	SEALED DOCUMENT as to 1-98-cr-1102-01 containing felony information. AUSA file #98R02283. (Guzzi, Roseann) (Sica, Michele). (Entered: 12/15/1998)
12/10/1998	<a href="#">24</a>	INFORMATION as to 1-98-cr-1102-01 Salvatore Lauria (1) count(s) 1. (Sica, Michele) (Entered: 03/27/2009)
03/12/1999	<a href="#">4</a>	(SEALED)LETTER dated 3/10/99 from AUSA Jonathan Sack to Judge Gleeson. (AUSA file #1998R02283). (Guzzi, Roseann) (Sica, Michele). (Entered: 03/12/1999)
07/09/1999	<a href="#">23</a>	NOTICE OF ATTORNEY APPEARANCE: Robert G. Stahl appearing for 1-98-cr-1102-01 Salvatore lauria (Sica, Michele) (Entered: 03/27/2009)
09/27/1999	<a href="#">5</a>	SEALED LETTER from AUSA Jonathan Sack submitted 9/20/99. (Guzzi, Roseann) (Sica, Michele). (Entered: 09/27/1999)
11/03/1999	<a href="#">6</a>	Sealed envelope containing LETTER dated 10/28/99. (PLACED IN VAULT). (Greves, Liz) (Sica, Michele). (Entered: 11/03/1999)
01/27/2000	<a href="#">7</a>	SEALED LETTER dated 1/26/00 from AUSA Jonathan Sack to Judge Glasser. (AUSA file #1998RO2283) (Guzzi, Roseann) (Sica, Michele). (Entered: 01/27/2000)
03/22/2000	<a href="#">8</a>	SEALED LETTER dated 3/13/00 from AUSA Jonathan Sack to Judge Glasser. AUSA Jonathan Sack 1998R02283. (Guzzi, Roseann) (Sica, Michele). (Entered: 03/22/2000)
05/18/2000	<a href="#">9</a>	Sealed envelope containing LETTER dated 5/15/2000. (PLACED IN VAULT). (Greves, Liz) (Sica, Michele). (Entered: 05/18/2000)



11/16/2001	<a href="#">10</a>	ORDER as to 1-98-cr-1102-01 unsealing the guilty plea transcript. (Signed by Senior Judge I. L. Glasser , on 11/15/01) (Sica, Michele) (Entered: 11/19/2001)
01/02/2002	<a href="#">11</a>	SEALED DOCUMENT as to 1-98-cr-1102-01 (letter). (Rodriguez,Angela) (Sica, Michele). (Entered: 01/11/2002)
05/01/2002	<a href="#">12</a>	SEALED DOCUMENT as to 1-98-cr-1102-01. (Rodriguez,Angela) (Sica, Michele). (Entered: 05/10/2002)
02/06/2003	<a href="#">13</a>	SEALED DOCUMENT as to 1-98-cr-1102-01; date of sealing 2/5/03; documents enclosed: correspondence. (Sica, Michele) (Sica, Michele). (Entered: 02/06/2003)
12/23/2003		Case sealed as to 1-98-cr-1102-01 (Piper, Francine) (Entered: 12/23/2003)
12/23/2003	<a href="#">14</a>	ORDER as to 1-98-cr-1102-01 (endorsed on letter dated 11/26/03 from Robert Stahl to Judge Glasser), sentencing is adjourned to 2/5/03 at 10:00. (Signed by Judge I. Leo Glasser on 12/2/03) (Piper, Francine) (Sica, Michele). (Entered: 12/23/2003)
02/25/2004	<a href="#">15</a>	SEALED DOCUMENT (Calendar and J&C ) as to 1-98-cr-1102-01 placed in vault (Piper, Francine) (Sica, Michele). (Entered: 03/02/2004)
04/13/2004	<a href="#">16</a>	ORDER as to Salvatore Lauria placed in Vault.(Signed by Judge I. Leo Glasser on 4/12/04) (Piper, Francine) (Sica, Michele). (Entered: 04/27/2004)
04/29/2004	<a href="#">17</a>	ORDER as to 1-98-cr-1102-01, that the Clerk of Court is directed to unseal the case for the purpose of transfer of jurisdiction only. ( Signed by Judge I. Leo Glasser on 4/19/04) (Piper, Francine) (Entered: 04/29/2004)
04/29/2004	<a href="#">18</a>	Transfer of Jurisdiction ORDER as to Salvatore Lauria that the jurisdiction of the probationer be transferred to the U.S.D.C. of Connecticut upon that court's order of acceptance of jurisdiction. (Signed by Judge I. Leo Glasser on 3/9/04). It is ordered that the jurisdiction of the probationer is accepted by this court. (Signed by District Judge in Connecticut on 3/24/04) (Piper, Francine) (Additional attachment(s) added on 3/27/2009: # <a href="#">1</a> transfer of jurisdiction) (Sica, Michele). (Entered: 04/29/2004)
04/29/2004		Probation Jurisdiction Transferred to District of Connecticut as to 1-98-cr-1102-01 Transmitted Transfer of Jurisdiction form, with certified copies of indictment, judgment and docket sheet. (certifies copies sent in sealed envelopes) (Piper, Francine) (Entered: 04/29/2004)
05/06/2004	<a href="#">19</a>	Certificate of Service as to 1-98-cr-1102-01 of Transfer of Probation documents via fedex on 5/5/04 upon Clerk of Court, USDC of Connecticut. (package tracking #838948354459) (Piper, Francine) (Entered: 05/06/2004)
04/19/2005	<a href="#">20</a>	Letter dated 1/27/05 from Keith Barry to Judge Glasser, recommending that the court order the dft to pay off the entire cost for electronic monitoring and that dft be confined to his home on weekends for the remainder of home confinement which terminates on 4/29/05. (Piper, Francine) (Entered: 04/19/2005)
04/19/2005	<a href="#">21</a>	Letter dated 2/14/05 from Keith Barry to Judge Glasser, enclosing a list of dates and



		times dft was in violation of the special condition ordering home confinement. (Piper, Francine) (Additional attachment(s) added on 3/27/2009: # <a href="#">1</a> letter dtd 02/14/05) (Sica, Michele). (Entered: 04/19/2005)
03/24/2009	<a href="#">22</a>	Order to Unseal Case as to 1-98-cr-1102-01. (Ordered by Magistrate Judge Roanne L. Mann on 3/18/2009) (Piper, Francine) (Entered: 03/24/2009)
01/26/2011	<a href="#">25</a>	Order to Seal Document as to Salvatore Lauria. For the reasons stated in the government's letter dtd. December 2, 2010, the government respectfully moves to seal the April 29, 2002 letter (Document 12) in the above-captioned case. Ordered by Senior Judge I. Leo Glasser on 1/25/2011. (Layne, Monique) (Entered: 01/26/2011)
09/20/2012	<a href="#">26</a>	MOTION to Unseal Document <i>Limited Unsealing Application</i> by USA as to Salvatore Lauria. (Attachments: # <a href="#">1</a> Proposed Order Limited Unsealing Order) (Cooley, Alicyn) (Entered: 09/20/2012)
09/21/2012	<a href="#">27</a>	LIMITED UNSEALING ORDER, granting <a href="#">26</a> Motion to Unseal Document as to Salvatore Lauria (1). Ordered by Judge I. Leo Glasser on 9/21/2012. (Layne, Monique) (Entered: 09/21/2012)

<b>PACER Service Center</b>			
<b>Transaction Receipt</b>			
08/30/2013 09:51:16			
<b>PACER Login:</b>	fo0569	<b>Client Code:</b>	
<b>Description:</b>	Docket Report	<b>Search Criteria:</b>	1:98-cr-01102-ILG
<b>Billable Pages:</b>	3	<b>Cost:</b>	0.30



# SCORPION

and the

# FROG

HIGH TIMES and HIGH CRIMES

*The True Story of One Man's Fraudulent Rise and Fall  
on the Wall Street of the Nineties*

## SALVATORE LAURIA

*As Told To*

## DAVID S. BARRY



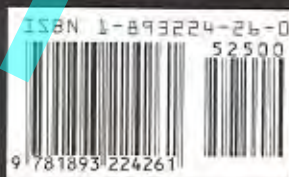
19 DEFENDANTS INDICTED IN A STOCK FRAUD  
SCHEME THAT WAS PROTECTED AND PROMOTED BY  
ORGANIZED CRIME

The Eastern District of New York, the Federal Bureau of Investigation in New York, and the New York City Police Department, today announced the indictment of nineteen defendants, including six members and associates of various Organized Crime Families of La Cosa Nostra, who are charged with participating in a large-scale stock fraud and money laundering scheme between 1993 and 1996. Seventeen of the nineteen defendants are charged with racketeering.

The charges in the indictment center on the activities of two brokerage firms with offices in downtown Manhattan: White Rock Partners & Co. ("White Rock") and State Street Capital Markets Corporation ("State Street") 1. The indictment alleges that the principals of White Rock and State Street, together with other brokers and brokerage firms planned and carried out a series of fraudulent securities schemes and then laundered tens of millions of dollars of illicit profits.

As alleged in the indictment, the schemes were led by the defendants JOHN DOUKAS and WALTER DURCHALTER, together with Gene Klotzman, Salvatore Lauria and Lex Tera, who collectively controlled White Rock and State Street (the "White Rock and State Street Partners")

All of the defendants in the indictment have subsequently pleaded guilty to the charges.



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